

APD 58140

Practitioner's Docket No. 003252-053291

PATENT

For: U.S. and Foreign Rights
By: Multiple Inventors

**ASSIGNMENT OF INVENTION CONTAINED IN PCT APPLICATION
(MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (inventors):

Name : SMART, Eric J.
Address: 1495 Sellers Mill Road
Versailles, Kentucky 40383
US
Nationality: US

hereby sells, assigns and transfers to

ASSIGNEE:

Name: UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION
Address: University of Kentucky
A144 ASTeCC Building
Lexington, KY 40506-0286
US
Nationality: US

and the successors, assigns and legal representatives of the ASSIGNEE the entire right, title and interest and in all foreign countries, including all rights to claim priority in and to any and all improvements which are disclosed in the invention entitled METHODS AND COMPOSITIONS FOR INHIBITING CHOLESTEROL UPTAKE and which is found in (37 C.F.R. Section 3.21) PCT application Serial No. PCT/US2004/003020 International Filing Date 03 February 2004 and any legal equivalent thereof in any designated country, including the right to claim priority and, in and to, all Letters Patent

B392084.1

BEST AVAILABLE COPY

to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any re-issue or re-examination thereof

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN TESTIMONY WHEREFORE, I have hereunto set hand and seal this
day of June 11, 2004.

Eric J. Smart

Typed/Printed Name of Inventor


Signature of Inventor

PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

07/07/2004
500002133

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Eric J. Smart	06/11/2004
RECEIVING PARTY DATA	
Name:	University of Kentucky Research Foundation
Street Address:	University of Kentucky
Internal Address:	A144 ASTeCC Building
City:	Lexington
State/Country:	KENTUCKY
Postal Code:	40506-0286
PROPERTY NUMBERS Total: 1	
Property Type	Number
PCT Number:	US0403020
CORRESPONDENCE DATA	
Fax Number:	(617)345-1300
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	617-345-6057
Email:	lginsberg@nixonpeabody.com
Correspondent Name:	David S. Resnick
Address Line 1:	Nixon Peabody LLP
Address Line 2:	100 Summer Street
Address Line 4:	Boston, MASSACHUSETTS 02110
NAME OF SUBMITTER:	Linda M. Ginsberg
Total Attachments: 2 source=DOC004#page1.tif source=DOC004#page2.tif	

CH \$40.00 US0403020

10/576388

APPROPRIATE 16 APR 2006

Practitioner's Docket No. 003252-053291

PATENT

For: U.S. and Foreign Rights
By: Multiple Inventors

**ASSIGNMENT OF INVENTION CONTAINED IN PCT APPLICATION
(MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (inventors):

Name : FARBER, Steven A.
Address: 222 Gravel Bend Road
Cherry Hill, New Jersey 08034
US
Nationality: US

hereby sells, assigns and transfers to

ASSIGNEE:

Name: THOMAS JEFFERSON UNIVERSITY
Address: 1020 Walnut Street
Philadelphia, Pennsylvania 19107
US
Nationality: US

and the successors, assigns and legal representatives of the ASSIGNEE the entire right, title and interest and in all foreign countries, including all rights to claim priority in and to any and all improvements which are disclosed in the invention entitled METHODS AND COMPOSITIONS FOR INHIBITING CHOLESTEROL UPTAKE and which is

~~found in (37 C.F.R. Section 3.21) PCT application Serial No. PCT/US2004/003029~~

International Filing Date 03 February 2004 and any legal equivalent thereof in any designated country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division,

10/576388

LAP20 Recd EPTO 19 APR 2006

Practitioner's Docket No. 003252-053291-PCT
Page 2 of 2

renewal, or substitute thereof, and as to letters patent any re-issue or re-examination thereof

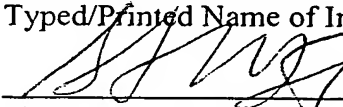
ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN TESTIMONY WHEREFORE, I have hereunto set hand and seal this
day of June 9, 2004.

Steven A. Farber

Typed/Printed Name of Inventor


Signature of Inventor

PATENT ASSIGNMENT

APR 20 2004 19 APR 2004

Electronic Version v1.1

06/25/2004

Stylesheet Version v1.1

500001601

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Steven A Farber	06/09/2004
RECEIVING PARTY DATA	
Name:	Thomas Jefferson University
Street Address:	1020 Walnut Street
City:	Philadelphia
State/Country:	PENNSYLVANIA
Postal Code:	19107
PROPERTY NUMBERS Total: 1	
Property Type	Number
PCT Number:	US0403020
CORRESPONDENCE DATA	
Fax Number:	(617)345-1300
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	(617) 345-6057
Email:	ngignac@nixonpeabody.com
Correspondent Name:	David S. Resnick
Address Line 1:	NIXON PEABODY LLP
Address Line 2:	100 Summer Street
Address Line 4:	Boston, MASSACHUSETTS 02110-2131
NAME OF SUBMITTER:	Nicole M. Gignac
Total Attachments: 2 source=DOC000#page1.tif source=DOC000#page2.tif	

CH \$40.00 US0403020



200576388
AP20 REC'D PCTO 19 APR 2006
CORRECTED
NOTICE

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MARCH 11, 2005

PTAS

DAVID S. RESNICK
NIXON PEABODY LLP
100 SUMMER STREET
BOSTON, MA 02110-2131

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/25/2004

REEL/FRAME: 014777/0444
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

FARBER, STEVEN A

DOC DATE: 06/09/2004

ASSIGNEE:

THOMAS JEFFERSON UNIVERSITY
1020 WALNUT STREET
PHILADELPHIA, PENNSYLVANIA 19107

SERIAL NUMBER:

FILING DATE: 02/03/2004

PATENT NUMBER:

ISSUE DATE:

PCT NUMBER: US0403020

TITLE: METHODS AND COMPOSITIONS FOR INHIBITING CHOLESTEROL UPTAKE

002157
379

014777/0444 PAGE 2

101576388
IAP20 Rec'd PCT/PTO 19 APR 2006

ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



00/576388

P20 Rec'd PCIPTO 13 APR 2006

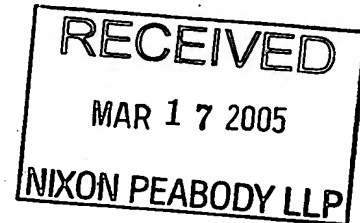
CORRECTED
NOTICE

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MARCH 11, 2005

PTAS

DAVID S. RESNICK
NIXON PEABODY LLP
100 SUMMER STREET
BOSTON, MA 02110UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/07/2004

REEL/FRAME: 014821/0092
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SMART, ERIC J.

DOC DATE: 06/11/2004

ASSIGNEE:

UNIVERSITY OF KENTUCKY RESEARCH
FOUNDATION
UNIVERSITY OF KENTUCKY
A144 ATECC BUILDING
LEXINGTON, KENTUCKY 40506-0286

SERIAL NUMBER:

FILING DATE: 02/03/2004

PATENT NUMBER:

ISSUE DATE:

PCI NUMBER: US0403020

TITLE: METHODS AND COMPOSITIONS FOR INHIBITING CHOLESTEROL UPTAKE

207376382

014821/0092 PAGE 2

APR 20 1968

ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☒ FADED TEXT OR DRAWING
- ☒ BLURRED OR ILLEGIBLE TEXT OR DRAWING
- ☐ SKEWED/SLANTED IMAGES
- ☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☒ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.